



PTO/SB/01 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**Declaration
Submitted
With Initial
Filing

OR

Declaration
Submitted after Initial
Filing (surcharge
(37 CFR 1.16 (e))
required)

Attorney Docket Number

11321-P058US

First Named Inventor

Khabashesku, et al.

COMPLETE IF KNOWN

Application Number

TO BE ASSIGNED

Filing Date

November 14, 2003

Art Unit

Unknown

Examiner Name

Unknown

I hereby declare that:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**SIDEWALL FUNCTIONALIZATION OF SINGLE-WALL CARBON NANOTUBES THROUGH
C-N BOND FORMING SUBSTITUTIONS OF FLUORONANOTUBES**

(Title of the Invention)

the specification of which



is attached hereto

OR



was filed on (MM/DD/YYYY)

11/14/2003

as United States Application Number or PCT International

Application Number

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

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I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				Yes	No
N/A			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

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If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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DECLARATION — Utility or Design Patent Application

Direct all correspondence to: ☐ Customer Number: OR ☒ Correspondence address below

Name

Ross Spencer Garsson / Winstead Sechrest & Minick P.C.

Address

400 North Ervay Street, P.O. Box 50784

City

Dallas

State

TX

ZIP

75201

Country

US

Telephone

512-370-2870

Fax

512-370-2850

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR:

☐ A petition has been filed for this unsigned inventor

Given Name

(first and middle [if any]) Valery N.

Family Name

or Surname Khabashesku

Inventor's
Signature

Date

Residence: City

Houston

State

TX

Country

US

Citizenship

RU

Mailing Address

2421-B Dolington

City

Houston

State

TX

ZIP

77030

Country

US

NAME OF SECOND INVENTOR:

☐ A petition has been filed for this unsigned inventor

Given Name

(first and middle [if any]) John L.

Family Name

or Surname Margrave

Inventor's
Signature

Date

Residence: City

Bellaire

State

TX

Country

US

Citizenship

US

Mailing Address

4511 Verone

City

Bellaire

State

TX

ZIP

77041

Country

US



Additional inventors or a legal representative are being named on the 1 supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.

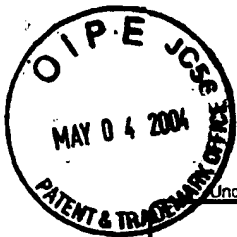


DECLARATION	ADDITIONAL INVENTOR(S) Supplemental Sheet
	Page <u>1</u> of <u>1</u>

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Joel L.		Stevens	
Inventor's Signature		Date	
Residence: City Houston	State TX	Country US	Citizenship US
Mailing Address 16541 Rubon Chapel			
Mailing Address			
City Montgomery	State TX	Zip 77316	Country US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Gaelle Armelle		Derrien	
Inventor's Signature		Date	
Residence: City Montpellier	State	Country FR	Citizenship FR
Mailing Address 9 rue Sebastien Lenormand			
Mailing Address			
City Montpellier	State	Zip 34090	Country FR
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Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address			
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PTO/SB/02LR (05-03)
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DECLARATION

LEGAL REPRESENTATIVES (35 U.S.C. 117)

Supplemental Sheet

Page 1 of 1

Name of Legal Representative:		<input checked="" type="checkbox"/> A supplemental declaration has been filed concurrently herewith.	
Given Name (first and middle (if any))		Family Name or Surname	
Mary Lou		Margrave	
Legal Representative's Signature <i>Mary Lou Margrave</i>		Date <i>04-26-04</i>	
Residence: City	Bellaire	State	TX
		Country	U.S.
Mailing Address		77401-5513	
Mailing Address			
City	Bellaire	State	TX
		Zip	77041
		Country	U.S.
Name of Additional Legal Representative, if any:		<input type="checkbox"/> A petition has been filed for this non-signing legal representative	
Given Name (first and middle (if any))		Family Name or Surname	
Legal Representative's Signature			
Residence: City		State	
		Country	
Mailing Address			
Mailing Address			
City		State	
		Zip	
		Country	
Name of Additional Legal Representative, if any:		<input type="checkbox"/> A petition has been filed for this non-signing legal representative	
Given Name (first and middle (if any))		Family Name or Surname	
Legal Representative's Signature		Date	
Residence: City		State	
		Country	
Mailing Address			
Mailing Address			
City		State	
		Zip	
		Country	

This collection of information is required by 35 U.S.C. 117 and 37 CFR 1.42, 1.43, 1.63 and 1.64(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**SUPPLEMENTAL DECLARATION UNDER 37 C.F.R. § 1.42
FOR SIGNING BY LEGAL REPRESENTATIVE ON
BEHALF OF DECEASED INVENTOR**

I, Mary Lou Margrave, hereby declare that I am a citizen of the United States, residing at 4511 Verone, Bellaire, Texas 77041. I further declare that I have reason to believe that I will be appointed legal representative of John L. Margrave, my husband, who passed away on December 18, 2003, as I am named as executrix in his will. Upon information and belief, I aver those facts that he is required to state in order to apply for a patent or allowance of any patent application in which he is listed as an inventor. Further, it is my understanding that all patents and patent applications in which John L. Margrave is listed as an inventor are to be assigned to Rice University, his employer since 1963, pursuant to the Rice University Policy.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: April 26, 2004

Mary Lou Margrave
Mary Lou Margrave
Legal Representative of John L. Margrave



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KHABASHESKU, ET AL.

COMPLETE IF KNOWN

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Art Unit

UNKNOWN

Examiner Name

UNKNOWN

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(Title of the Invention)

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N/A			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

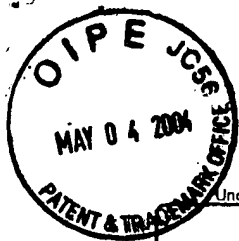
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Name Ross Spencer Garsson / Winstead Sechrest & Minick P.C.					
Address 400 North Ervay Street, P.O. Box 50784					
City Dallas		State TX		ZIP 75201	
Country US		Telephone 512-370-2870		Fax 512-370-2850	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.					
NAME OF SOLE OR FIRST INVENTOR:				<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any]) Valery N.				Family Name or Surname Khabashesku	
Inventor's Signature <i>B. N. Khabashesku</i>				Date 12/12/03	
Residence: City Houston		State TX		Country US	
Citizenship RU					
Mailing Address 2421-B Dorington <i>Dorington</i> <i>VN 12/12/03</i>					
City Houston		State TX		ZIP 77030	
Country US					
NAME OF SECOND INVENTOR:				<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any]) John L.				Family Name or Surname Margrave	
Inventor's Signature				Date	
Residence: City Bellaire		State TX		Country US	
Citizenship US					
Mailing Address 4511 Verone					
City Bellaire		State TX		ZIP 77041	
Country US					
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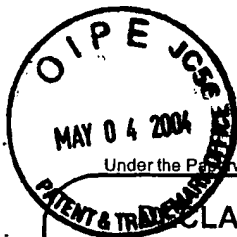
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Supplemental SheetPage 1 of 1

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Inventor's Signature		Date	
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Mailing Address 16541 Rubon Chapel			
Mailing Address			
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Inventor's Signature		Date	
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Mailing Address			
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Examiner Name	UNKNOWN

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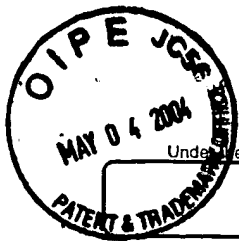
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Mailing Address			
City	State	Zip	Country

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PTO/SB/01 (08-03)

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**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**

☐ Declaration
Submitted
With Initial
Filing

OR

☒ Declaration
Submitted after Initial
Filing (surcharge
(37 CFR 1.16 (e))
required)

Attorney Docket Number 11321-P038US

First Named Inventor KHABASHESKU, ET AL.

COMPLETE IF KNOWN

Application Number TO BE ASSIGNED

Filing Date NOVEMBER 14, 2003

Art Unit UNKNOWN

Examiner Name UNKNOWN

I hereby declare that:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**SIDEWALL FUNCTIONALIZATION OF SINGLE-WALL CARBON NANOTUBES THROUGH
C-N BOND FORMING SUBSTITUTIONS OF FLUORONANOTUBES**

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY)

11/14/2003

as United States Application Number or PCT International

Application Number

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications; material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				Yes	No
N/A			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

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DECLARATION — Utility or Design Patent Application

Direct all correspondence to: <input type="checkbox"/> Customer Number: <input type="text"/>				OR <input checked="" type="checkbox"/> Correspondence address below	
Name Ross Spencer Garsson / Winstead Sechrest & Minick P.C.					
Address 400 North Ervay Street, P.O. Box 50784					
City Dallas		State TX		ZIP 75201	
Country US		Telephone 512-370-2870		Fax 512-370-2850	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.					
NAME OF SOLE OR FIRST INVENTOR:				<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any]) Valery N.				Family Name or Surname Khabashesku	
Inventor's Signature				Date	
Residence: City Houston		State TX		Country US	
Citizenship RU					
Mailing Address 2421-B Dolington					
City Houston		State TX		ZIP 77030	
Country US					
NAME OF SECOND INVENTOR:				<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any]) John L.				Family Name or Surname Margrave	
Inventor's Signature				Date	
Residence: City Bellaire		State TX		Country US	
Citizenship US					
Mailing Address 4511 Verone					
City Bellaire		State TX		ZIP 77041	
Country US					
<input checked="" type="checkbox"/> Additional inventors or a legal representative are being named on the <u>1</u> supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.					



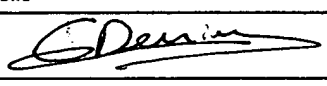
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DECLARATION	ADDITIONAL INVENTOR(S) Supplemental Sheet Page 1 of 1
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Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Joel L.		Stevens	
Inventor's Signature		Date	
Residence: City Houston	State TX	Country US	Citizenship US
Mailing Address 16541 Rubon Chapel			
Mailing Address			
City Montgomery	State TX	Zip 77316	Country US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Gaelle Armelle		Derrien	
Inventor's Signature 		Date 12/15/2003	
Residence: City Montpellier	State	Country FR	Citizenship FR
Mailing Address 9 rue Sebastien Lenormand			
Mailing Address			
City Montpellier	State	Zip 34090	Country FR
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address			
Mailing Address			
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